

Section  
PATENT

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Eugene M. Lee

Title: SYSTEMS AND METHODS FOR PREPARATION OF AN  
INTELLECTUAL PROPERTY FILING IN ACCORDANCE WITH  
JURISDICTION- AND/OR AGENT-SPECIFIC REQUIREMENTS

Application No.: 09/409,524

Filed: September 30, 1999

Examiner: Unknown

Group Art Unit: 2731

Atty. Docket No.: 017-0001

November 2, 1999

Box Missing Parts  
ASSISTANT COMMISSIONER FOR PATENTS  
Washington, DC 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION  
FILING DATE GRANTED**

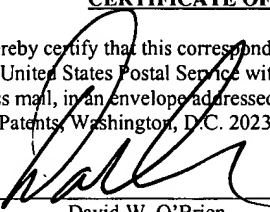
This paper is responsive to the Notice to File Missing Parts of Application (PTO-1533) mailed October 21, 1999, and having a period for response set to expire on December 21, 1999. A copy of the Notice is enclosed.

The oath or declaration was determined to be missing or unexecuted and the statutory basic filing fee and additional claims fees were determined to be missing. Accordingly, an executed oath or declaration in compliance with 37 C.F.R. § 1.63 is enclosed, along with the basic filing and additional claims fees in the amount of \$1,016 (Small Entity). An executed Statement Claiming Small Entity Status is also enclosed.

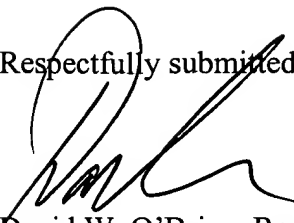
A check in the amount of \$1,081 is enclosed to cover the § 1.16(e) surcharge (\$65 Small Entity) and the basic filing and additional claims fees. Additionally, the Commissioner is hereby authorized to charge deposit account 50-0631 for any additional fees that may be required.

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail, in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231 on the date shown below.

  
\_\_\_\_\_  
David W. O'Brien11/2/99  
\_\_\_\_\_  
Date

Respectfully submitted,

  
David W. O'Brien, Reg. No. 40,107  
Attorney for Applicant(s)  
(512) 347-9030  
(512) 347-9031 (fax)



3A

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Eugene M. Lee

Title: SYSTEMS AND METHODS FOR PREPARATION OF AN  
INTELLECTUAL PROPERTY FILING IN ACCORDANCE WITH  
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**STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 C.F.R. §§ 1.9(f) AND 1.27(b)—INDEPENDENT INVENTOR)**

As a below named inventor, I hereby state that I qualify as an independent inventor, as defined in 37 CFR 1.9(c), for purposes of paying reduced fees to the United States Patent and Trademark Office under Sections 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office, with regard to the invention described in:

- ☐ the specification filed herewith, with title as listed above.
- ☒ the application identified above.
- ☐ the patent identified above.

I have not assigned, granted, conveyed or licensed, and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c), if that person had made the invention, or to any concern that would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☒ No such person, concern, or organization exists.

☐ Each such person, concern or organization is listed below.\*

\*NOTE: Separate statements are required from each named person, concern or organization having rights to the invention as to their status as small entities. (37 CFR 1.27)

Full Name: \_\_\_\_\_

Address: \_\_\_\_\_  
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

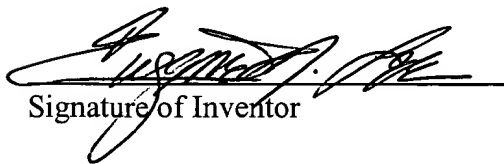
Full Name: \_\_\_\_\_

Address: \_\_\_\_\_  
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

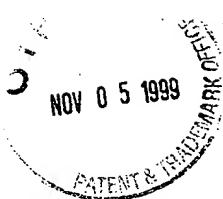
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Eugene M. Lee  
Name of Inventor

  
Signature of Inventor

Date: October 25, 1999



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/409,524 09/30/99 LEE

E 017-0001

022120 0262/1021  
ZAGORIN O'BRIEN & GRAHAM LLP  
1120 SOUTH CAPITAL OF TEXAS HWY  
BUILDING 3 SUITE 208  
AUSTIN TX 78746

NOT ASSIGNED

2731

DATE MAILED:

10/21/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
*Filing Date, Granted*

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a  
☐ small entity (statement filed) ☐ non-small entity is \$ 2162

- ☒ 1. The statutory basic filing fee is:  
☒ missing.  
☐ insufficient.

Applicant must submit \$ 760 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

- ☒ 2. The following additional claims fees are due: 97272  
\$ 649 for 36 total claims over 20.  
\$ 622 for 8 independent claims over 3.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☒ 3. The oath or declaration:  
☐ is missing or unsigned.  
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).  
☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

- ☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

- ☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

*[Signature]*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

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